



FORM PTO-1449 (REV. 7-80)	U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE	ATTY. DOCKET NO. ASA-5051	SERIAL NO. 10/780,772
LIST OF DOCUMENTS CITED BY APPLICANT (Use several sheets if necessary)		APPLICANT K. SHIMADA et al.	
		FILING DATE February 19, 2004	GROUP 2189

## U.S. PATENT DOCUMENTS

* EXAMINER INITIAL		DOCUMENT	DATE	NAME	CLASS	SUBCLASS	FILING DATE (If Appropriate)
AF	AA	6,502,162	12/31/02	Blumenau et al			
AF	AB	6,715,031	3/30/04	Camble et al			
AF	AC	2002/ 0095602	7/18/02	Pherson et al			
AF	AD	2002/ 0103913	8/01/02	Tawil et al			
AF	AE	2002/ 0104008	8/01/02	Cochran et al			
AF	AF	2003/ 0055972	3/20/03	Fuller et al			
AF	AG	2003/ 0115447	6/19/03	Pham et al			
AF	AH	2004/ 0064729	4/01/04	Yellepeddy			
AF	AI	2001/ 0047482	11/29/01	Harris et al			
	AJ						
	AK						

## FOREIGN PATENT DOCUMENTS


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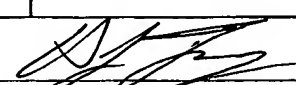
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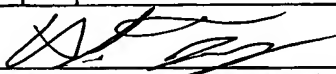
AF	AR	Buck, A.L. et al, "The Storage Server as Virtual Volume Manager", IEEE Comput. Soc., April 1993, USA 26-29, pp. 79-86.
AF	AS	Gelb, J.P., "System-Managed Storage", IBM Systems Journal, Vol. 28, No. 1, Jan. 1989, pp. 77-103.
AF	AT	Kaczmariski, M. et al, "Beyond Backup Toward Storage Management", IBM Systems Journal, Vol. 42, No. 2, 2003, pp. 322-337.


EXAMINER 	DATE CONSIDERED 06/11/06
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U.S. PATENT DOCUMENTS								
*EXAMINER INITIAL		DOCUMENT	DATE	NAME	CLASS	SUBCLASS	FILING DATE (If Appropriate)	
AF	AA	5,657,470	08/12/97	Fisherman et al				
AF	AB	6,275,824	08/14/01	O'Flaherty et al				
AF	AC	6,275,825	08/14/01	Kobayashi et al				
AF	AD	6,502,193	12/31/02	Barber				
AF	AE	2002/ 0099837	07/25/02	Oe et al				
AF	AF	2003/ 0023868	01/30/02	Parent				
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OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, etc.)								
AF	AR	"Freedom Storage Lightning 9900 V Series", User and Reference Guide,						
		Hitachi Data Systems Corp., 2002, pp. iii-124.						
	AS							
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<b>U.S. PATENT DOCUMENTS</b>						
* EXAMINER INITIAL	DOCUMENT	DATE	NAME	CLASS	SUBCLASS	FILING DATE <i>(If Appropriate)</i>
AA	6,275,898	08/14/01	DeKoning			
AB	6,289,398	09/11/01	Stallmo et al			
AC	6,425,049	07/23/02	Yamamoto et al			
AD	6,507,905	01/14/03	Hubacher et al			
AE	6,519,679	02/11/03	Devireddy et al			
AF	6,615,324	09/02/03	Fernald			
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EXAMINER				DATE CONSIDERED		
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<b>U.S. PATENT DOCUMENTS</b>							
* EXAMINER INITIAL	DOCUMENT	DATE	NAME	CLASS	SUBCLASS	FILING DATE <i>(If Appropriate)</i>	
AA	6,665,786	12/16/03	McMichael et al				
AB	6,728,836	04/27/04	Lambright et al				
AC	6,772,287	08/03/04	Uchiyama et al				
AD	6,851,022	02/01/05	Ikeuchi et al				
AE	2002/ 0107810	08/08/02	Nishio et al				
AF	2003/ 0014600	01/16/03	Ito et al				
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				FILING DATE February 19, 2004		GROUP 2189	
<b>U.S. PATENT DOCUMENTS</b>							
* EXAMINER INITIAL	DOCUMENT	DATE	NAME	CLASS	SUBCLASS	FILING DATE (If Appropriate)	
AA	6,148,368	11/14/00	DeKoning				
AB	6,341,331	01/22/02	McNutt				
AC	6,347,358	02/12/02	Kuwata				
AD	2003/ 0196055	10/16/03	Kamano et al				
AE	2004/ 0111557	06/10/04	Nakatani et al				
AF	2004/ 0139168	07/15/04	Tanaka et al				
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**U.S. PATENT DOCUMENTS**

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	AA	6,484,173	11/19/02	O'Hare et al		
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**FOREIGN PATENT DOCUMENTS**

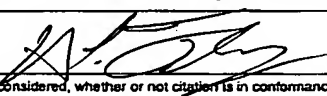
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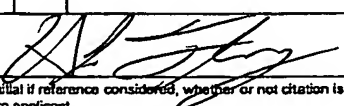
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EXAMINER 	DATE CONSIDERED 06/4/06
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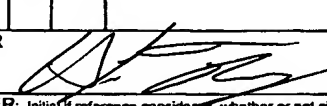
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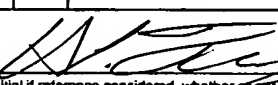
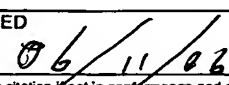
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<b>U.S. PATENT DOCUMENTS</b>							
* EXAMINER INITIAL	DOCUMENT	DATE	NAME	CLASS	SUBCLASS	FILING DATE (If Appropriate)	
✓	AA	2003/ 0115218	06/2003	Bobbitt et al			
✓	AB	6,542,961	04/01/03	Matsunami			
✓	AC	6,606,695	08/12/03	Kamano			
✓	AD	2004/ 0153605	08/05/04	Nakamura			
✓	AE	2003/ 0229698	12/11/03	Furahashi			
✓	AF	2003/ 0120743	06/26/03	Coatney			
✓	AG	2003/ 0115282	06/19/03	Rose			
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✓	AR	Swartz, K., "Multiple Volumes and Multiple RAID Groups on NetApp Fliers", Network Appliicance Report TR 3027, no date, from Google cache online.					
✓	AS	Rangel, G., "Hitachi Freedom Storage: Thunder 9200 Architecture and Performance Configuration Guidelines", Hitachi Data Systems, 2001, pp.1-27.					
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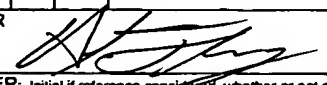
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AA	6,594,775	07/15/03	Fair				
AB	6,691,209	02/10/04	O'Connell				
AC	6,865,157	03/08/05	Scott				
AD	6,904,470	06/07/05	Ofer				
AE	5,973,690	10/26/99	Ofer				
AF	6,507,896	12/14/03	Sanada				
AG	2004/ 0168033	08/26/04	Sanada				
AH	6,523,096	02/18/03	Sanada				
AI	2002/ 0083285	06/27/02	Sanada				
AJ	6,609,180	08/18/03	Sanada				
AK	2002/ 0010843	01/24/02	Sanada				
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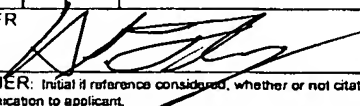
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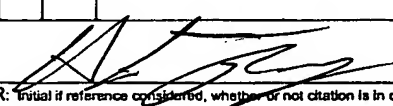
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* EXAMINER INITIAL	DOCUMENT	DATE	NAME	CLASS	SUBCLASS	FILING DATE <i>(If Appropriate)</i>
AF	AA	6,728,844	04/27/04	Sanada		
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AF	AC	2001/ 0011332	08/02/01	Sanada		
AF	AD	6,877,073	08/05/05	Sanada		
AF	AE	2001/ 0008010	07/12/01	Sanada		
AF	AF	2005/ 0172052	08/04/05	Sanada		
AF	AG	6,910,102	06/21/05	Matsunami		
AF	AH	6,701,410	03/02/04	Matsunami		
AF	AI	2004/ 0158673	08/12/04	Matsunami		
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AA	6,701,411	03/02/04	Matsunami				
AB	6,851,029	02/01/05	Matsunami				
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AD	2002/ 0095549	07/18/02	Matsunami				
AE	2003/ 0191910	10/09/03	Matsunami				
AF	2001/ 0047463	11-29-01	Kamano				
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AI	2004/ 0181589	09/2004	Suleiman, Yaser I.				
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AM						<input type="checkbox"/>	<input type="checkbox"/>
AN						<input type="checkbox"/>	<input type="checkbox"/>
AO						<input type="checkbox"/>	<input type="checkbox"/>
AP						<input type="checkbox"/>	<input type="checkbox"/>
<b>OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, etc.)</b>							
	AR						
EXAMINER				DATE CONSIDERED			
				06/11/06			
<small>* EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.</small>							

FORM PTO-1449 (REV. 7-80)		U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE		ATTY. DOCKET NO. ASA-5051	SERIAL NO. 10/780,772		
<b>LIST OF DOCUMENTS CITED BY APPLICANT</b> <i>(Use several sheets if necessary)</i>				APPLICANT K. SHIMADA et al		GROUP 2189	
				FILING DATE February 19, 2004			
<b>U.S. PATENT DOCUMENTS</b>							
* EXAMINER INITIAL	DOCUMENT	DATE	NAME	CLASS	SUBCLASS	FILING DATE <i>(If Appropriate)</i>	
AA	2005/ 0005064	01/2005	Ito et al				
AB	6,684,209	01/2004	Ito et al				
AC	2002/ 0052914	05/2002	Zalewski et al				
AD	2004/ 0003063	01/2004	Ashok et al				
AE	2004/ 0212511	10/2004	Ahrens et al				
AF	2005/ 0050085	03/2005	Shimada et al				
AG	6,343,324	01/2002	Hubis et al				
AH	2004/ 0163028	08/2004	Olarig				
AI	6,690,400	02/2004	Moayyad et al				
AJ							
AK							
<b>FOREIGN PATENT DOCUMENTS</b>							
	DOCUMENT	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION YES NO	
AL						<input type="checkbox"/>	<input type="checkbox"/>
AM						<input type="checkbox"/>	<input type="checkbox"/>
AN						<input type="checkbox"/>	<input type="checkbox"/>
AO						<input type="checkbox"/>	<input type="checkbox"/>
AP						<input type="checkbox"/>	<input type="checkbox"/>
<b>OTHER DOCUMENTS</b> <i>(Including Author, Title, Date, Pertinent Pages, etc.)</i>							
AR							
AS							
EXAMINER				DATE CONSIDERED			
				06/11/06			
<small>* EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 608; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.</small>							

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<b>LIST OF DOCUMENTS CITED BY APPLICANT</b> <i>(Use several sheets if necessary)</i>				APPLICANT K. SHIMADA et al			
				FILING DATE February 19, 2004	GROUP 2189		
<b>U.S. PATENT DOCUMENTS</b>							
* EXAMINER INITIAL	DOCUMENT	DATE	NAME	CLASS	SUBCLASS	FILING DATE (If Appropriate)	
JA	AA	2001/ 0027501	10/2001	O'Hare et al			
JA	AB	2001/ 0020254	09/2001	Blumenau et al			
JA	AC	5,765,153	06/1998	Benantar et al			
JA	AD	2005/ 0120171	06/2005	Yasukawa et al			
JA	AE	2005/ 0149677	07/2005	Shimada et al			
	AF						
	AG						
	AH						
	AI						
	AJ						
	AK						
<b>FOREIGN PATENT DOCUMENTS</b>							
	DOCUMENT	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
						YES	NO
JA	AL	2002- 259214	2002	JAPAN		<input type="checkbox"/>	<input type="checkbox"/>
JA	AM	1341074	2003	EUROPE		<input type="checkbox"/>	<input type="checkbox"/>
	AN					<input type="checkbox"/>	<input type="checkbox"/>
	AO					<input type="checkbox"/>	<input type="checkbox"/>
	AP					<input type="checkbox"/>	<input type="checkbox"/>
<b>OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, etc.)</b>							
JA	AR	B.W. Lampson, "Protection" Operating Systems Review, ACM Press, XX, vol. 8, No. 1, January 1974, pp. 18-24.					
	AS						
EXAMINER				DATE CONSIDERED			
				06/11/06			
<small>* EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.</small>							

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<b>LIST OF DOCUMENTS CITED BY APPLICANT</b> <i>(Use several sheets if necessary)</i>				APPLICANT K. SHIMADA et al		
				FILING DATE February 19, 2004		V
<b>U.S. PATENT DOCUMENTS</b>						
* EXAMINER INITIAL	DOCUMENT	DATE	NAME	CLASS	SUBCLASS	FILING DATE <i>(If Appropriate)</i>
JP	AA	6,898,672	05/24/05	Lambright et al		
JP	AB	2004/ 0088417	05/06/04	Bober et al		
JP	AC	6,457,102	09/24/02	Lambright et al		
JP	AD	2003/ 0005456	01/2003	Naganuma et al		
	AE					
	AF					
	AG					
	AH					
	AI					
	AJ					
	AK					
<b>FOREIGN PATENT DOCUMENTS</b>						
	DOCUMENT	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION YES NO
JP	AL	2003- 157177	05/30/03	JP (with English Abstract)		<input type="checkbox"/> <input type="checkbox"/>
	AM					<input type="checkbox"/> <input type="checkbox"/>
	AN					<input type="checkbox"/> <input type="checkbox"/>
	AO					<input type="checkbox"/> <input type="checkbox"/>
	AP					<input type="checkbox"/> <input type="checkbox"/>
<b>OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, etc.)</b>						
	AR					
	AS					
EXAMINER				DATE CONSIDERED		
				06/11/06		
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